

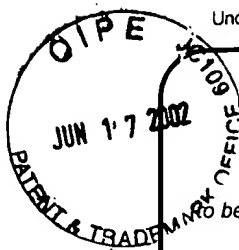
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB/0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

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Application Number 09/970,555

Filing Date October 4, 2001

First Named Inventor Victor F. Petrenko

Group Art Unit 3742

Examiner Name Unknown

Total Number of Pages in This Submission

4

Attorney Docket Number 392500

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JUN 20 2002

OFFICE OF PETITIONS

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

1. Deficiency Payment to Correct Error in Small Entity Status - Rule 1.28

2. Certificate of Mailing

3. Return Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Thomas Swenson
Lathrop & Gage, L.C.

Signature

Thomas Swenson

Date

June 3, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: June 3, 2002

Typed or printed name

Carol J. Dunkel

Signature

Carol J. Dunkel

Date

June 3, 2002

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COPY OF PAPERS
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Victor F. Petrenko
Application No.: 09/970,555
Filed: October 4, 2001

Attorney Docket No. 392500
Group No.: 3742
Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID
WATER LAYER

Assistant Commissioner for Patents
Washington, D.C. 20231

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JUN 20 2002
OFFICE OF PETITIONS

DEFICIENCY PAYMENT TO CORRECT ERROR IN SMALL ENTITY STATUS

Pursuant to 37 CFR 1.28(c)(1) and (2) an itemization and payment of deficiency owed are hereby submitted. The undersigned attorney requests under § 1.28(d) that the deficiency payment be treated as a notification under § 1.27(g)(2) of the loss of entitlement to small entity status.

Fee Description	Date	Fee Paid	Corrected Fee Amount	Deficiency Due
Basic Filing Fee	10/04/01	\$355.00	\$740.00	\$385.00
Extra Claims Fees	10/04/01			
42 Total Claims		\$ 198.00	\$396.00	\$198.00
3 Independent Claims		\$ 0.00	\$ 0.00	\$ 0.00
Total Deficiency Payment Owed:				\$583.00

A deficiency payment in the amount of \$583.00 is enclosed. If any additional amount is due, please charge Deposit Account No. 12-0600.

Adjustment date: 06/20/2002 AMONDAF1
10/09/2001 EFLORES 00000044 120600 09970555
01 FC:201 -370.00 OP

Adjustment date: 06/20/2002 AMONDAF1
10/09/2001 EFLORES 00000044 120600 09970555
03 FC:203 15.00 CR -183.00 OP

06/20/2002 AMONDAF1 00000037 09970555

01 FC:101 740.00 OP
02 FC:103 396.00 OP

Respectfully submitted,

By: Thomas Swenson
Thomas Swenson, Reg. No. 36,696
Lathrop & Gage, L.C.
4845 Pearl East Circle, #300
Boulder, CO 80301
Telephone: (303) 449-5800
Facsimile: (303) 443-6998

CERTIFICATE UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING

37 CFR 1.8(a) a
as First Class Mail

June 3 2002
Date

37 CFR 1.10
as Express Mail Post Office to Addressee
EXPRESS MAIL NO.

Carol J. Dunkel
Carol J. Dunkel

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Practitioner's Docket No. 392500

PATENT

IN THE UNITED STATES PATENT OFFICE

Re application of: Victor F. Petrenko
Application No.: 09/970,555
Filed: October 4, 2001
Group No.: 3742
Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID WATER LAYER

CERTIFICATE OF MAILING

Date of Deposit: June 3, 2002

I hereby state that the following *attached* papers:

Commissioner for Patents
Washington, D.C. 20231

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JUN 20 2002
OFFICE OF PETITIONS

1. Transmittal Form [1 page]
2. Fee Transmittal for FY 2002 [1 page]
3. Deficiency Payment to Correct Error in Small Entity Status [1 page]
4. Check No.2572 in the amount of \$583.00 for total deficiency owed
5. Certificate of Mailing, [1 page]
6. Return Postcard [1].

are being deposited with the United States Postal Service as First Class Mail service under 37 CFR 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.


Carol J. Dunkel

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 583

Complete If Known

Application Number 09/970,555
Filing Date October 4, 2001
First Named Inventor Victor F. Petrenko
Examiner Name Unknown
Group / Art Unit 3742
Attorney Docket No. 392500

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JUN 20 2002
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METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

12-0600

Deposit
Account
Name

Lathrop & Gage, L.C.

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$0)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20 **	0	X	0
Independent Claims	-3 **	0	X
Multiple Dependent		X	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) Payment of total deficiency owed

583.

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$583)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Thomas Swenson	Registration No. Attorney/Agent	36,696*	Telephone	(303) 449-5800
Signature	<i>Thomas Swenson</i>			Date	June 3, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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